Chief Compliance Officer
Office of Enterprise Compliance
December, 13 2011

Board Assignment Status

Assignment Date	Request / Subject	Due Date	Status / Completed Date
Dec 2010	Allegation cases for Board Members and Executive staff should be investigated by an outside party.	February 2012	Current Status: This item is being addressed in the Investigation workgroup. The workgroup determined that ECOM would take this item offline and work with ISOF staff to develop an escalation flow chart to better define the roles and responsibilities of those involved in the various stages of escalating an Ethics Helpline complaint. Previously Reported: Staff is researching and developing an escalation protocol to refer Ethics Helpline issues to an external party when deemed appropriate for external investigation or review.

Other Items of Interest

Item of Interest	Status / Completed Date
Program Activities	• ECOM personnel presented one session of Compliance and Ethics Everyone's responsibility in New Employee Orientation on November 30, 2011.
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	• Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing summaries of compliance alerts as appropriate. • CAMs worked with INVO and LEGO on Investment policy reviews.
• Compliance Area Manager – Transparency and Disclosure	• In accordance with CalPERS Form 700 and Travel Transparency Policy, ECOM posted the Transparency filers financial disclosures and travel summaries to the CalPERS external website.

Item of Interest	Status / Completed Date
	• Form 700 Automation Project/Roll-out Background • The off the shelf "hosted" solution called "eDisclosure" was acquired in April 2011. Efforts have been underway to configure the solution for use by CalPERS Form 700 filers. • Email notification will be distributed this month to all filers notifying them of January 2012 go-live date for new eDisclosure system • December 2011 ECOM will be conducting "optional" Form 700 forums for filers • A six minute training video will be shown at the forum but is also available for viewing at any time. • January 2012 the system will "go-live" • Week 1: system activated • All Form 700s processed & tracked in the system (Annual, Assuming & Leaving Office) • Week 2: auto notifications sent for the 2011 Annual Filing Process • Notify employees of "Filing Fridays" sessions to be held every Friday in February during the lunch hour to walk any 700 filer through the automation process